

2. Review of a USG E-Gov Standard Prior to Approval

Title:

Does the title clearly and adequately describe the standard?

Yes, the title of the DoD 5015.2-STD for version 1 (Nov 1997) and version 2 (June 2002) is “Design Criteria Standards for Electronic Records Management Software Applications.”

Scope:

Is the scope clearly defined? *Yes, the standard includes mandatory baseline functional requirements for Records Management Application (RMA) software used by the DoD Components in the implementation of their records management programs; defines required system interfaces and search criteria to be supported by the RMAs; and describes the minimum records management requirements that must be met, based on current National Archives and Records Administration (NARA) regulations.*

Is it clear what is within and not within the scope of the standard? *Yes*

Is the purpose and need (e.g., security, interoperability) clearly stated? *Yes*

Is there adequate justification for why this standard is needed? *The Department of Defense (DoD) determined that the standard was needed for its own business needs to meet NARA records management requirements. The standard is widely recognized by industry.*

Applicability and intended uses of standard:

Is it clear who should use the standard and for what applications? *Yes, the standard is mandatory for all DOD components and endorsed by NARA for Federal agency use. The standard describes mandatory baseline functional requirements for RMAs; required system interfaces and search criteria to be supported by the RMAs; and the minimum records management requirements that must be met.*

Description of relationship to existing standards if applicable:

If there are related standards, are they identified and the relationship explained? *See the Preface to DoD 5015.2-STD.*

Description of the development process:

Is there a brief description that adequately describes the process by which the standard was developed (including meetings held, participants, etc.)? *Version 2 of the standard, which was endorsed by NARA as one of the E-Records Management eGov actions, included a Federal Register announcement for public comment.*

Is the basis for the standard identified, for example is this an existing standard, a modification of an existing standard or a new standard? *Yes, the basis for the standard is described in DoD's Directive No. 5015.2 dated March 6, 2000. (Unaware of a later version of the Directive).*

Identification of participants:

Are the participating organizations identified? (Individual names may or may not be included in the draft.) *Contact Department of Defense (DoD).*

Maintenance of the Standard:

The standard is maintained by the Department of Defense. Contact Ronald Kelly at 703-602-1007.

Is the maintenance authority for the standard identified? *See response above.*

If a maintenance strategy is described, is it understandable and reasonable? *See response above.*

Body of the standard:

Is the standard clearly organized and presented in an understandable manner? *Yes*
Does the standard follow a specific format guideline? *DoD format*

References:

Is there a reference section? *Yes*

Are the references clearly identified so that someone can readily obtain them? *Yes*

Appendices/Annexes:

Is it clear whether these are informative (not part of what is being standardized) or normative (part of what is being standardized)? *Not applicable*

Legal considerations:

Have any patent assertions been made? If so, describe. *No*

Are there any IPR assertions that will hinder distribution of the approved standard? If so, describe. *No*

Other Issues:

How does the standard fit into the Federal Enterprise Architecture (FEA)? *The standard is aligned with the FEA as part of the Technical Reference Model.*

What mechanisms will be used to assess conformity of implementations to the standard? *The Joint Interoperability Test Command will be used to evaluate conformance of RMAs.*

What mechanisms will be used to assess the interoperability of different vendors' implementations? *TBD by DoD.*

Are any editorial corrections required? *No*

Does the standard reflect the requirements of the original project proposal? *TBD by DoD*

Is the standard independent of technology? *TBD*

Can the standard be implemented with known or future technology? *With known technology.*

Are there other similar standards available or are there other related standards development efforts going on? *There are no comparable U.S. or international standards for Records Management Applications. MoReq, a European standard, is a model of potential functional requirements crossing over juridical boundaries within the European Union and, as such, does not employ software conformance testing, as the DoD standard and JITC process do. The Records Management Services (RMS) project to develop an Object Management Group (OMG) standard (which NARA initiated) will provide an alternative approach to integrating records management requirements into electronic systems. If so, are there overlap issues that need to be resolved, or is there a need to coordinate with other standards projects? No*

Are there any questions that need to be answered or clarifications required before approval? *No*

Was there a public review? If so, was the public review based on a broad cross-section of users? *Yes, there was public comment via the Federal Register and the DOD website.*

In revising the standard, was the development group responsive to the comments received during the public review period? *Yes*

What has been done (i.e., due diligence) to establish that there is no available, suitable private sector consensus standard? *A review of other standards via AIIM, ANSI and ISO.*

Are there any appropriate private sector consensus standards developing organizations to which this standard should be submitted for further processing as a private sector consensus standard? *No* If so, who will take responsibility for submitting the standard?